Page 1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: 013	Division: ACLDC	Number: 004
Evaluated by: Jaime Coffee		Date: 12/22/08
Assisted by: Linda Valle		Date: 12/22/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

-						
TYPE O	FINSPECTION	Lead Inspe	ctor's Signatu	ıre:		
☐ Div	ision Level					
☐ Exe	ecutive Office Level					
Fo	ollow-up Required: ☐ Follow-up Inspection Yes ☐ No	Commande	er's Signature	;		Date: 12/22/08
For ap	oplicable policy, refer to: HPM 11.1, Chapter 23					
1.	Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	☐ No	□ N/A	Remarks:	
3.	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes	☐ No	⊠ N/A	Remarks:	
4.	Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:	
5.		⊠ Yes	☐ No	□ N/A	Remarks:	
6.	Are prohibited services performed using an X Number?	Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	☐ No	□ N/A	Remarks:	
8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes	□ No	⊠ N/A		ed this service for a estem, TS would be the e-approve.
9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	☐ Yes	□No	⊠ N/A		013 required a facility- ce, FS would be the e-approve.
10.	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	⊠ Yes	□No	□ N/A	when our co	nis was the case in 2008 ntract w/Newstrak lapsed led to obtain video.

COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

 Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	⊠ No	□ N/A	Remarks: Justification was provided on the 78X for the vendor as to why (unable to locate another vendor) only one quote was provided. However, if there were other vendors, three quotes would have been provided.
 Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	☐ Yes	□ No	⊠ N/A	Remarks: If 013 were to use an X Number for a vendor, we would first obtain the SB cert. from DGS.
Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
Do emergency service X Numbers document and justify the emergency?	☐ Yes	□No	⊠ N/A	Remarks: 013 has not had the need for an emergency service that requires an X Number to be utilized.
Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

Command: 013	Division: ACLDC	Number: 004
Evaluated by: Jaime Coffee	·	Date: 12/22/08
Assisted by:		Date:
Linda Valle		12/22/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:				
☐ Division Level ☐ Command Level						
☐ Executive Office Level ☐ Voluntary Self-Inspec	tion					
Follow-up Required: ☐ Follow-up Inspecti	ion	Commande	er's Signature			Date: 12/22/08
For applicable policy, refer to: HPM 11.2, Chapter 3	3					
 Are all employees associated with the use of the Card program completing the CHP 78S, Conflict Interest Statement, Employee, form? 		⊠ Yes	□No	□ N/A	Remarks:	
 Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized? 		⊠ Yes	☐ No	□ N/A	Remarks:	
Are STD. 204 Payee Data Record forms maintair in the Cal Card command file for each vendor utilized?	ned	⊠ Yes	☐ No	□ N/A	Remarks:	
4. Are California Integrated Waste Management Bo- Form 74 documents maintained for each vendor utilized?		⊠ Yes	☐ No	□ N/A	Remarks:	
5. If the vendor is a small business or DVBE is utiliz is the certification letter from the Department of General Services maintained in the file?		⊠ Yes	□No	□ N/A	Remarks:	
6. When fair and reasonable is utilized, is the fair an reasonable method documented and properly justified?		⊠ Yes	□ No	□ N/A	Remarks:	
7. Are purchases split into multiple transactions in o to circumvent transaction purchase limits?		☐ Yes	⊠ No	□ N/A	Remarks:	
8. Does the CHP 317 Cal Card Log fully describe th purchase?		⊠ Yes	□No	□ N/A	Remarks:	
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?		⊠ Yes	□No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM

"INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	☐ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

1 of 4

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: 013	Division: ACLDC	Number: 004
Evaluated by: Jaime Coffee		Date: 12/22/08
Assisted by: N/A		Date: 12/22/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION

Lead Inspector's Signature:

TYPE OF INSPECTION				Lead Inspector's Signature:			
☐ Div	ision Level	☐ Command Level					
☐ Exe	ecutive Office Level						
Fo	ollow-up Required: ☐ Yes	Follow-up Inspection	Commande	er's Signature	:		Date: 12/22/08
For a	oplicable policy, refer to	o: HPM 11.1, Chapter 22					
1.		Request used to initiate all are repetitive, regardless of ue?	⊠ Yes	☐ No	□ N/A	Remarks:	
2.	Is a CHP 78 Contract I services exceeding \$4,	Request used for one-time 999.99?	⊠ Yes	□No	□ N/A	Remarks:	
3.	numbering beginning w	ith the requesting command used, followed by "CP" for	⊠ Yes	☐ No	□ N/A	Remarks:	
4.	Is the performance of cand documented?	ontract services monitored	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are all copies of corres maintained?	pondence with the vendor	⊠ Yes	☐ No	□ N/A	Remarks:	
6.	which outline any proble non-performance of the		⊠ Yes	□No	□ N/A	Remarks:	
	CHP 78?	uch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:	
8.	including the required d for expedite and emerg	f approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, varding the CHP 78 or CHP	⊠ Yes	☐ No	□ N/A	Remarks:	

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□ No	□ N/A	Remarks:
	10.	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
	11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
	12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	☐ No	□ N/A	Remarks:
j		Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
		Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
	15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks;
	16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
	17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
	18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
h_		Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
J	20.	Are contract amendment request dollar amounts increased more than 30%?	⊠ Yes	□No	□ N/A	Remarks:

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	21.	Is the length of the contract amendment request more than one year?	Yes	⊠ No	□ N/A	Remarks:
	22.	Are amendments requested before the expiration of the original contract?	⊠ Yes	□ No	□ N/A	Remarks:
14	23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	⊠ Yes	□ No	□ N/A	Remarks:
	24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	⊠ Yes	□No	□ N/A	Remarks:
	25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks: Although policy dictates this would be the procedure, to date, OMR has not entered into any of the listed agreements.
		 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
	26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	☐ No	⊠ N/A	Remarks: Although policy dictates this would be the procedure, to date, OMR has not entered into any of the listed agreements.
`		 Alarm and Fire Alarm Monitoring Camera Maintenance and Repair Carpet Installation Diesel Generator Maintenance and Repair Dishwasher Maintenance and Repair Elevator Maintenance and Repair Fire Extinguisher Service Garage Door Maintenance and Repair Graphic Arts Equipment Maintenance and Repair Heating, Ventilation, and Air Conditioning Service Laundry/Linen Service Office Machine Maintenance and Repair Painting Services (interior of facility) Plumbing Services Scale Maintenance and Repair Steam Cleaning Services (Carpet, not scales) Telephone Services (cellular, satellite, and regular) Television Equipment Maintenance and Repair Uninterruptible Power Supply Maintenance and Repair 				
-).						

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	27	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□No	⊠ N/A	Remarks: See above
	28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□ No	⊠ N/A	Remarks: See above
		Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
		Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks: A file is kept up front document any activity related to the Newstrak contract.
1	31.	Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks: "
	32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	⊠ N/A	Remarks: "
	33.	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
	34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks: Communications should be in writing or followed up in writing.
	35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:
	36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
	37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
	38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks
)	39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

STATE OF CALIFORNIA
PEPARTMENT OF CALIFORNIA HIGHWAY PATROL

ISPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:
013 ACLDC		004
Evaluated by:		Date:
Jaime Coffee		12/22/08
Assisted by:		Date:
Fran Clader		12/22/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				ctor's Signati	ire:				
☐ Divi	sion Level	Command Level							
☐ Offi	ce of Inspections		on						
	llow-up Required:] Yes ⊠ No	☐ Follow-Up Inspection	Commander's Signature: Date: 12/22/08						
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.									
1.	approving paperwork re preparing collections?		☐ Yes	□No	⊠ N/A		ourse of duty does not o receive or prepare		
2.	for overall management receiving and preparing	ovide necessary guidelines and accountability of collections?	☐ Yes	□No	⊠ N/A	Remarks:			
3.	Does the command have duties for collections red	e adequate separation of ceived?	☐ Yes	□No	⊠ N/A	Remarks:			
4.	duties for the cash recei		☐ Yes	□No	⊠ N/A	Remarks:			
5.	Is access to the safe an restricted?		☐ Yes	☐ No	⊠ N/A	Remarks:			
6.	to the safe and/or vault occur?	ich identifies who has access and when changes in access	☐ Yes	☐ No	⊠ N/A	Remarks:			
7.	number of employees w combination, transferred requires access?	d out of the Area, or no longer	☐ Yes	□No	⊠ N/A	Remarks:			
8.	Is the safe securely and	hored to the building?	☐ Yes	□No	⊠ N/A	Remarks:			
	Are weekly transmittal reaccordance with departr	mental policy?	□ Yes	☐ No	⊠ N/A	Remarks:			
10.		report(s) submitted to Fiscal MS) within five working days red by the report?	☐ Yes	☐ No	⊠ N/A	Remarks:			

ISPECTION PROGRAM

 11. Does the command submit the following forms with the weekly transmittal when applicable? (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). 	☐ Yes	□No	⊠ N/A	Remarks:
(3) STD 634, Absence and Additional Time Worked Report, for jury duty.(4) CHP 221, Malicious Damage Report.				
 (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit. (6) Civil subpoena. 				
12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□ No	⊠ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	☐ Yes	☐ No	⊠ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	☐ Yes	☐ No	⊠ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	☐ No	⊠ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	☐ No	⊠ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	☐ No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	☐ Yes	☐ No	⊠ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	☐ No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	□No	⊠ N/A	Remarks:
22. Is the CHP 264 properly authorized?	☐ Yes	☐ No	⊠ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	☐ Yes	□No	⊠ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	☐ Yes	☐ No	⊠ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks:

3 of 3

STATE OF CALIFORNIA
PEPARTMENT OF CALIFORNIA HIGHWAY PATROL

ISPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	□No	⊠ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	☐ No	⊠ N/A	Remarks:
28. Are all petty cash purchases under \$50?	☐ Yes	□No	⊠ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	□No	⊠ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	☐ No	⊠ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	☐ Yes	∏No	⊠ N/A	Remarks:

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

OMMAND INSPECTION PROGRAM

Chapter 3, Command Procurements

Purchases

Division: ACLDC	Number: 2008-0-169			
219	Date: Dec. 19, 2008			
	Daté			
	ACLDC			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: □ Command Level ☐ Division Level .M. Lu ☐ Executive Office Level □ Voluntary Self-Inspection Commander's Signature: Date: Follow-up Required: Dec. 22, 2008 Chun and Follow-up Inspection ⊠ No Yes For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: X Yes □ No □ N/A command level familiar with the related policies and procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: □ No □ N/A procurement training? Are prohibited items procured on CHP 43, Purchases Remarks: ☐ Yes ⊠ No □ N/A Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: ☐ No □ N/A prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: □ N/A Purchase Requisition? ∏ No 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each □ No □ N/A fiscal year (July 1)? Are expedited requests for the purchase of goods Remarks: OCOR requests are forwarded to the Assistant Commissioner, Staff, for ⊠ Yes □No □ N/A directed to ACLDC approval?

2 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□No	□ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's drive before being accepted?	r 🛚 🖾 Yes	□ No	□ N/A	Remarks:

3 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

	20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
	 Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0) 	⊠ Yes	□No	□ N/A	Remarks:
	22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
	23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
	24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:
OCOR/015	ACLDC	2008-0-169
Evaluated by:	Date:	
Sgt. G. Gee, I.D. 1121	Dec. 19, 2008	
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:						
☐ Divi	sion Level	⊠ Command Level	1 hr. 1						
☐ Exe	cutive Office Level	☐ Voluntary Self-Inspection	6.M. hu						
Fo	llow-up Required:] Yes ⊠ No	☐ Follow-up Inspection	Commander's Signature: Date: Dec. 22, 2008						
For applicable policy, refer to: HPM 11.2, Chapter 3				0					
1.		ociated with the use of the Cal- ing the CHP 78S, Conflict of iployee, form?	⊠ Yes	□No	□ N/A	Remarks:			
2.		e Workplace certifications Cal Card command file for	⊠ Yes	□ No	□ N/A	Remarks:			
3.	Are STD. 204 Payee D in the Cal Card comma utilized?	ata Record forms maintained and file for each vendor	⊠ Yes	□ No	□ N/A	Remarks:			
4.		ed Waste Management Board aintained for each vendor	⊠ Yes	□No	□ N/A	Remarks:			
5.		business or DVBE is utilized, from the Department of tained in the file?	⊠ Yes	□ No	□ N/A	Remarks:			
6.	When fair and reasona reasonable method do justified?	ble is utilized, is the fair and cumented and properly	⊠ Yes	□No	□ N/A	Remarks:			
	to circumvent transaction		☐ Yes	⊠ No	□ N/A	Remarks:			
	purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:			
9.	Are bank statements re Cal Card Log and the r	econciled with the CHP 317 eceipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks:			

2 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

III-SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	⊠ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:			
OCOR/015 ACLDC		2008-0-169			
Evaluated by:		Date:			
Sgt. G. Gee, I.D. 1	1219	Dec. 19, 2008			
Assisted by:		Date:			

NSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.							
TVDE OF	INSPECTION		Lead Inche	ctor's Signatu	re.		
			Lead mope	ctor's digitate	10.		
∐ Divi:	sion Level	○ Command Level	_	5.M.	6		
Exe	cutive Office Level	☐ Voluntary Self-Inspection		1.774 - 7	acc		
Fol	llow-up Required: Yes ⊠ No	☐ Follow-up Inspection	Commande	er's Signature:	·		Date: Dec. 22, 2008
	—	ii .					
For ap	plicable policy, refer to	: HPM 11.1, Chapter 23					
1.	Are multiple X Numbers to circumvent the \$4,999	awarded to the same vendor contract limit?	lor ☐ Yes ☐ No ☐ N/A Remarks:				
2.	Does all X Number file of STD. 204 Payee Data R	locumentation contain the ecord?	⊠ Yes	□ No	□ N/A	Remarks:	
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?			⊠ Yes	□No	□ N/A	Remarks:	
4.	Are X Number requests services are performed?	made prior to the date the	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are X Numbers issued f		⊠ Yes	☐ No	□ N/A	Remarks:	
6.	Are prohibited services Number?	performed using an X	☐ Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for service and not the pure		⊠ Yes	☐ No	□ N/A	Remarks:	
8.	Are X Numbers issued f related services pre-app Telecommunications Se	roved by	⊠ Yes	☐ No	□ N/A	Remarks:	5
9.		facilities related services ctrical) costing over \$1,000 n Facilities Section?	⊠ Yes	☐ No	□ N/A	Remarks:	
10.	Do X Numbers issued for agreements have prior a Assistant Commissioner	approval by the appropriate	⊠ Yes	☐ No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: 014-00D

Division: ACLDC Chapter: #3
Command
Procurement

Inspected by: Gina Linson

Date: 12/18/2008

number of the inspection in the Chapte	er Inspection number. Under "Fo his document shall be utilized to o	exes as necessary, or fill in the blanks as indicated and to:" enter the next level of command whe document innovative practices, suggestions for some used to appeal findings. A CHP 51 Memoral	ere the document statewide
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ○ Command Level		Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
│ │ │ Yes │ No		La	12-119/19
	Due Date: 12/26/2008	1 July Mush	10 111(00
Chapter Inspection:			AVAI JISSA TOOLA TEE
Inspector's Comments Rega	rding Innovative Practice		新疆(唐) (6) 第 (8) (8) (8) (8)
Command Suggestions for S	Statewide Improvement:		
None at this time.			
Inspector's Findings:			

Corrective Action Plan/Timeline

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter: # 3
Inspected by:	Siv	Date: (2) (9) 08

Commander's Response:			
Inspector's Comments:			
Required Action			
ELASON TO THE LOCAL PROPERTY OF	清明,在《安全》第一次。 <u>19</u> 99		

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:
Inspected by:	INSTIN	Date: 19-19-08

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
Load langestaria Cianglium.	Date
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division: ACLDC	Number: 014
Evaluated by: Gina Linson		Date: 12/18/2008
Assisted by:		Date:

Purchases INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level ☐ Voluntary Self-Inspection ☐ Executive Office Level Date: Commander's Signature: Follow-up Required: Follow-up Inspection Yes No For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: Mo No □ N/A command level familiar with the related policies and procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: □ N/A No procurement training? 3. Are prohibited items procured on CHP 43, Purchases Remarks: ⊠ No □ N/A ☐ Yes Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from X Yes □ No N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: □ No \square N/A X Yes Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: X Yes ΠNo □ N/A consecutively, starting anew at the beginning of each fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: □ N/A □ No forwarded to the Assistant Commissioner, Staff, for X Yes approval?

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8. Do ap	specialized items purchased contain the propriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
	e the CHP 43, Purchase Requisitions, mpetitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10. Do do	pes the CHP 315, Price Comparison Worksheet, cument at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
tha bra	e Limited Competitive Bidding purchase requests at limit or restrict the purchase to one specific and or model justified and in compliance with SAM 55?	⊠ Yes	□No	□ N/A	Remarks:
for	e Limited Competitive Bidding purchase requests items that interface with existing departmental uipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks:
co	Non-Competitive Bid (NCB) purchase requests intain the NCB justification and NCB Corrective stion Plan documents?	☐ Yes	□No	⊠ N/A	Remarks: OOD has not had to utilize the NCB process.
	e items checked immediately for content and image when delivered?	⊠ Yes	□No	□ N/A	Remarks:
ap Ma wi	the "received copy" of the purchase order oproved, dated, and forwarded to the Fiscal anagement Section (FMS), Account Payable Unit, thin three business days of receipt, if all items are excepted?	⊠ Yes	□ No	□ N/A	Remarks:
ге	e freight and/or packing slips attached to the ceived copy of the purchase order and sent to MS?	⊠ Yes	□No	□ N/A	Remarks:
ar ac	FMS provided a photocopy of the purchase order and any approved freight or packing slips as cknowledgement that a portion of the order has een received?	⊠ Yes	□No	□ N/A	Remarks:
CC	the original "received copy" retained by the ommand for completion and forwarding to the FMS hen the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
a	re <u>Damaged items</u> delivered by common carrier cknowledged on the freight bill by the carrier's driver efore being accepted?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division: ACLDC	Number: 014
Evaluated by: Gina Linson		Date: 12/15/08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspec	tor's Signatui	re:		
☐ Division Level ☐ Command Level					
☐ Executive Office Level ☐ Voluntary Self-Inspection					
Follow-up Required:	Gommande J. W.J.	r's Signature:	Mish	\wedge	Date: 12 19 08
For applicable policy, refer to: HPM 11.2, Chapter 3					
 Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? 	⊠ Yes	□No	□ N/A	Remarks:	
 Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized? 	⊠ Yes	□No	□ N/A	Remarks:	
 Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized? 	⊠ Yes	□No	□ N/A	Remarks:	
Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?		☐ No	□ N/A	Remarks:	
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?		□No	□ N/A	Remarks:	
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	∏ No	□ N/A	Remarks:	
Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	Yes	⊠ No	□ N/A	Remarks:	
Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:	
Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?		□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division: ACLDC	Number: 014
Evaluated by: Gina Linson		Date: 12/15/08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level ☐ Division Level Executive Office Level ☐ Voluntary Self-Inspection Configander's Signature: Follow-up Inspection Follow-up Required: No Yes For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: □ N/A □ No service contracts which are repetitive, regardless of X Yes the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: □ N/A ⊠ No Yes services exceeding \$4,999.99? 3. Is the Office of Primary Interest (OPI) tracking Remarks: □No □ N/A numbering beginning with the requesting command ☐ Yes three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: □ N/A □No and documented? 5. Are all copies of correspondence with the vendor Remarks: ΠNο □ N/A maintained? 6. Are letters for contracts documented and maintained Remarks: which outline any problems related to substandard or □ N/A X Yes No non-performance of the vendor? 7. Is the final product to be delivered described Remarks: X Yes □ No □ N/A specifically and in as much detail as possible in the CHP 78? Are all required levels of approval/signature obtained, Remarks: X Yes ΠNo □ N/A including the required documentation and approvals

78A?

for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□No	□ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	Yes	□No	⊠ N/A	Remarks: This has not occurred within OOD.
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks: This has not occurred within OOD, but the process would be followed.
20. Are contract amendment request dollar amounts increased more than 30%?	ПYes	⊠ No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	⊠ No	□ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	⊠ Yes	□No	□ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks: OOD does not contract for this type of service.
 (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services 				
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	☐ Yes	□ No	N/A N/A	Remarks: OOD does not contract for this type of service.
	0			

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	□No	⊠ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□ No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐Yes	⊠ No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	⊠ Yes	□No	□ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	⊠ Yes	□ No	□ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□No	□ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division: ACLDC	Number: 014
Evaluated by: Gina Linson		Date: 12/18/2008
Assisted by:		Date:

1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION

Lead Inspector's Signature:

Command Level

TYPE OF INSPECTION			Lead hispector's dignature.				
☐ Division Level		⊠ Command Level					
Executive Office	ce Level	☐ Voluntary Self-Inspection					
Follow-up F	Required:	☐ Follow-up Inspection	Commande	r's Signature:			Date:
For applicable p	olicy, refer to	o: HPM 11.1, Chapter 23					
		s awarded to the same vendor 99 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:	
	X Number file Payee Data	documentation contain the Record?	⊠ Yes	□No	□ N/A	Remarks:	
landscap		g a contract (i.e., janitorial or r approval from the Business nander?	⊠ Yes	□No	□ N/A	Remarks:	
	mber request are performed	s made prior to the date the !!?	⊠ Yes	□No	□ N/A	Remarks:	
5. Are X Nu	mbers issued	for a one-time use?		□No	□ N/A	Remarks:	
6. Are prohi Number?		performed using an X	☐ Yes	⊠ No	□ N/A	Remarks:	
		or the procurement of a rchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:	
related s	mbers issued ervices pre-ap munications S		⊠ Yes	□ No	□ N/A	Remarks:	
(such as	roof repair, el	or facilities related services ectrical) costing over \$1,000 m Facilities Section?	☐ Yes	□ No	⊠ N/A	Academy, s	OOD is housed within the so X-numbers of this type be requested.
agreeme		for lapsed contractual approval by the appropriate er?	⊠ Yes	□No	□ N/A	Remarks:	

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter: #4
014-00D	ACLDC	Fiscal Controls
Inspected by: Gina Li Gina Linson	nson	Date: 12/16/2008 12/18/2008

number of the inspection in the Chaptershall be routed to and its due date. The	er Inspection number. Under "Fo his document shall be utilized to	oxes as necessary, or fill in the blanks as indicatorward to:" enter the next level of command who document innovative practices, suggestions for be used to appeal findings. A CHP 51 Memorations	ere the document statewide			
TYPE OF INSPECTION		Corrective Action Plan Included				
☐ Division Level ☐ Command	☐ Division Level ☐ Command Level					
Executive Office Level		Attachments Included				
Follow-up Required:	Forward to:	Commander's Signature:	Date:			
☐ Yes ☐ No	Due Date:	Sma hunsm	12/19/08			
Chapter Inspection:			ALEGICAL ENGINEERS			
Inspector's Comments Rega	arding Innovative Practice	es:				
Command Suggestions for S	Statewide Improvement:	WW.				
None at this time.						
Inspector's Findings:						

COMMAND INSPECTION PROGRAMEXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter:
014	ACLDC	#4
Inspected by: Gina Linson		Date: 12/18/2008

Commander's Response:	
	90
W. See Continue Co.	*
Inspector's Comments:	
TABLE THE STATE OF	The transfer of the condition and the condition of the co
	A DESCRIPTION OF STREET OF STREET
Required Action	Karl San Parantalan da San San San San San San San San San Sa
Corrective Action Plan/Timeline	

COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: 014	Division: ACLDC	Chapter: 4
Inspected by:		Date:
Gina Linson		12/18/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
9	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

INSPECTION PROGRAM

Date: 12/18/2008			
Date:			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.							
TYPE OF INSPECTION			Lead Inspec	ctor's Signatur	e:		
☐ Division Level ☐ Command Level							
Division Fever							
☐ Office of Inspections ☐ Voluntary Self-Inspection							
	low-up Required: Yes	☐ Follow-Up Inspection	Commander's Signature: Date: Date:				Date: 17 19 08
For app	olicable policies, refer to	State Administrative	-				
	I (SAM), HPM 11.1, Cha						
Chapte	er 2.						
1.	Is management actively in approving paperwork rela preparing collections?	nvolved in reviewing and ted to receiving and	☐ Yes	☐ No	⊠ N/A	Remarks:	
2.	Does the command have	vide necessary guidelines and accountability of	☐ Yes	□No	⊠ N/A	Remarks:	æ
3.	Does the command have duties for collections received	adequate separation of	☐ Yes	□No	⊠ N/A	Remarks:	
4.	Does the command have duties for the cash receip		Yes	□No	N/A	Remarks:	
5.	Is access to the safe and restricted?		Yes	□No	⊠ N/A	Remarks:	
6.	Does a record exists whi	ch identifies who has access nd when changes in access	Yes	□No	⊠ N/A	Remarks:	
7.	Was the lock combination number of employees we	n changed when an excess ere aware of the out of the Area, or no longer	Yes	□No	⊠ N/A	Remarks:	
8.	Is the safe securely anch	ored to the building?	Yes	□No	⊠ N/A	Remarks:	
9.	Are weekly transmittal re accordance with departm		Yes	□No	⊠ N/A	Remarks:	
10.	Is the weekly transmittal	report(s) submitted to Fiscal MS) within five working days	Yes	☐ No	⊠ N/A	Remarks:	

INSPECTION PROGRAM

	 Does the command submit the following forms with the weekly transmittal when applicable? CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors. CHP 36, Evidence/Property Receipt/Report (Unclaimed Property). STD 634, Absence and Additional Time Worked Report, for jury duty. CHP 221, Malicious Damage Report. CHP 464, Traffic Control Cost Estimate – Advance Deposit. Civil subpoena. 	⊠ Yes	□No	□ N/A	Remarks: This command handles CHP 634's only. All processes are followed.
	12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□No	⊠ N/A	Remarks:
	13. Does the command ensure the information written on the counter receipt is complete and legible?	☐ Yes	□No	⊠ N/A	Remarks:
	14. Was a counter receipt issued for each witness fee deposit received?	☐ Yes	□No	⊠ N/A	Remarks:
	15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	⊠ N/A	Remarks:
	16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□No	⊠ N/A	Remarks:
	17. Is sales tax added to items that are not for resale?	☐ Yes	□No	⊠ N/A	Remarks:
	18. Are all counter receipts pre-numbered and issued in numerical sequence?	Yes	☐ No	⊠ N/A	Remarks:
	19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks:
	20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□No	⊠ N/A	Remarks:
	21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	Yes	☐ No	⊠ N/A	Remarks:
	22. Is the CHP 264 properly authorized?	☐ Yes	☐ No	⊠ N/A	Remarks:
	23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	☐ Yes	□No	⊠ N/A	Remarks:
	24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	Yes	□No	⊠ N/A	Remarks:
-	25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	∏Yes	□No	⊠ N/A	Remarks:

INSPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	□No	⊠ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	Yes	☐ No	⊠ N/A	Remarks:
28. Are all petty cash purchases under \$50?	Yes	□No	⊠ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	Yes	□No	⊠ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	Yes	□No	⊠ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	Yes	□No	⊠ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

SPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Ocor/015	Division: ACLDC	Number: 2008-0-169
Evaluated by: Sgt. G. Gee, I.D. 11	219	Date: Dec. 19, 2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ☐ Division Level □ Command Level 6.M. ku Office of Inspections □ Voluntary Self-Inspection Commander's Signature: Date: Follow-up Required: Dec. 22, 2008 amseule ☐ Follow-Up Inspection Yes ⊠ No For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: OCOR's existing approving paperwork related to receiving and ☐ Yes ☐ No ⊠ N/A organizational and administrative preparing collections? structure precludes the need or requirement for a collections process. Does the command have Standard Operating Remarks: □ No ⊠ N/A Procedures (SOP) to provide necessary guidelines ☐ Yes for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: duties for collections received? ☐ Yes □ No ⊠ N/A 4. Does the command have adequate separation of Remarks: duties for the cash receipt process? □No ⊠ N/A ☐ Yes 5. Is access to the safe and/or vault appropriately Remarks: Yes □ No ⊠ N/A restricted? 6. Does a record exists which identifies who has access Remarks: to the safe and/or vault and when changes in access ☐ Yes □ No ⊠ N/A occur? 7. Was the lock combination changed when an excess Remarks: number of employees were aware of the ☐ Yes □ No \square N/A combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: ☐ Yes ☐ No ⊠ N/A 9. Are weekly transmittal reports prepared in Remarks: ☐ No ⊠ N/A accordance with departmental policy? Yes 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: Management Section (FMS) within five working days ☐ Yes ☐ No ⊠ N/A

following the week covered by the report?

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

SPECTION PROGRAM

11. Does the command submit the following forms with the weekly transmittal when applicable?(1) CHP 265, Sale of Discarded Tires/Junk	☐ Yes	□No	⊠ N/A	Remarks:
Batteries/Used Rotors. (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).				
(3) STD 634, Absence and Additional Time Worked Report, for jury duty.				
 (4) CHP 221, Malicious Damage Report. (5) CHP 464, Traffic Control Cost Estimate – 				
Advance Deposit. (6) Civil subpoena.				a)
12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	☐ No	⊠ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	☐ Yes	□ No	⊠ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	Yes	□ No	⊠ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	⊠ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□ No	⊠ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	□ Yes	☐ No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	☐ Yes	☐ No	⊠ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□ No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	☐ No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	☐ No	⊠ N/A	Remarks:
22. Is the CHP 264 properly authorized?	☐ Yes	☐ No	⊠ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	☐ Yes	□No	⊠ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks:

3 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

SPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	□No	⊠ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	□ No	⊠ N/A	Remarks:
28. Are all petty cash purchases under \$50?	☐ Yes	□No	⊠ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	□No	⊠ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	□No	⊠ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	☐ Yes	□No	⊠ N/A	Remarks: